

Rigidity of CR maps of hyperquadrics

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joint work with Dusty Grundmeier and Liz Vivas

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Setup

Let $M \subset \mathbb{C}^n$ and $M' \subset \mathbb{C}^N$ be real submanifolds.

$F: M \rightarrow M'$ is *CR* if it satisfies tangential Cauchy-Riemann equations.

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Classify CR maps from M to M' .

This is very hard.

So perhaps we can ask the question in some specific scenario.

Spheres

We could study spheres. That is

$$S^{2n-1} = \{z \in \mathbb{C}^n : \sum_{j=1}^n |z_j|^2 = \|z\|^2 = 1\}$$

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Consider CR maps $F: S^{2n-1} \rightarrow S^{2N-1}$, with $n \geq 2$.

The smallest N' such that $F(S^{2n-1})$ lies in an N' -dimensional affine space is the *embedding dimension* of F .

If $F(S^{2n-1}) \not\subset H$ for any affine complex hyperplane $H \subset \mathbb{C}^N$, then we'll say F has *minimal target dimension* ($N = N'$).

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Dor ('90) constructed a continuous CR map with embedding dimension $N = n + 1$.

Gaps for maps $F: S^{2n-1} \rightarrow S^{2N-1}$

No CR maps of spheres with minimal target dimension for the following “gaps”:

n	Target dimension	Regularity
$n > 2$	$n < N < 2n - 1$	real-analytic (Faran '86) C^{N-n+1} (Forstnerič '86, Cima-Suffridge '90) C^2 (Huang '99)
$n > 4$	$2n < N < 3n - 3$	C^3 (Huang-Ji-Xu '06)
$n > 7$	$3n < N < 4n - 6$	C^3 (Huang-Ji-Yin '12)

Conjectured k th gap is $kn < N < (k + 1)n - \frac{k(k+1)}{2}$.

For $n = 2$ there are no gaps.

Large codimension

Theorem (D'Angelo, L. '09)

Let $n \geq 2$. \exists an M such that $\forall N \geq M$ there exists a polynomial CR map $F: S^{2n-1} \rightarrow S^{2N-1}$ with minimal target dimension.

So everything is possible for the sphere (beyond a certain point).

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The sphere is defined by a positive definite form. What about surfaces defined by nondegenerate forms.

Hyperquadrics

Define

$$Q(a, b) \stackrel{\text{def}}{=} \left\{ z \in \mathbb{C}^{a+b} : \sum_{j=1}^a |z_j|^2 - \sum_{j=a+1}^{a+b} |z_j|^2 = 1 \right\}$$

Note that

$$S^{2n-1} = Q(n, 0)$$

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- 1) $a \geq 1$.
- 2) Levi-form of $Q(a, b)$ is of signature $(a - 1, b)$.

Starting with a sphere

Theorem (D'Angelo, L. '11)

Let $n \geq 2$. $\exists M$ such that $\forall A, B$ with $A \geq 1$, $B \geq 0$, $A + B \geq M$, there exists a rational CR map $F: S^{2n-1} \rightarrow Q(A, B)$ with minimal target dimension.

Minimal target dimension is the same idea: $F(S^{2n-1})$ not contained in an affine complex hyperplane.

So really everything is possible when starting from a sphere (if we go far enough out).

CR maps between hyperquadrics

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When $Q(a, b)$ is not equivalent to a sphere, it is enough to consider real-analytic CR maps by a theorem of Lewy.

$Q(a, b) \cong Q(b + 1, a - 1)$ by a linear fractional map. So always assume that $a > b$ and $A > B$. Then $Q(a, b)$ is not equivalent to a sphere when $b \geq 1$.

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If $F(U) \subset H$, where $H \subset \mathbb{C}^{A+B}$ is an affine complex hyperplane, then after an affine change of variables on the target side we have a map:

$$\tilde{F}: U \rightarrow Q(A', B') \times \mathbb{C}^k$$

For some k , some $A' \leq A$, and $B' \leq B$.

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Example: Let F be

$$(z_1, z_2, z_3) \mapsto (z_1, z_2, \varphi(z), z_3, \varphi(z))$$

takes $Q(2, 1)$ to $Q(3, 2)$ (φ is arbitrary CR function). $H = \{w_3 = w_5\}$.
Changing coordinates we obtain:

$$(z_1, z_2, z_3) \mapsto (z_1, z_2, z_3, \varphi(z), 0)$$

Note $Q(3, 2) \cap H$ is equivalent to $Q(2, 1) \times \mathbb{C}$.

Super-rigidity

Let

$$F: U \subset Q(a, b) \rightarrow Q(A, B)$$

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Theorem (Baouendi-Huang '05)

If $b = B$, then $a = A$ and F is equivalent (via an LFT) to the identity.

Theorem (Baouendi-Ebenfelt-Huang '09)

If $B < 2b$, then $a = A$, $b = B$ and F is equivalent to the identity.

Failure of super-rigidity

Let $(z, w) \in \mathbb{C}^a \times \mathbb{C}^b$. Then

$$(z, w) \mapsto (z_1, \dots, z_{a-1}, z_a z_1, \dots, z_a^2, z_a w_1, \dots, z_a w_b, w_1, \dots, w_b)$$

takes $Q(a, b)$ to $Q(2a - 1, 2b)$.

Theorem (Grundmeier, L., Vivas, '11)

Let $a > b \geq 1$. Let $U \subset Q(a, b)$ be a connected open set and $F: U \rightarrow Q(A, B)$ be a real-analytic CR map with minimal target dimension, then

$$A \leq N(a, b, B),$$

where $N(a, b, B)$ is a constant depending only a , b , and B .

Stability

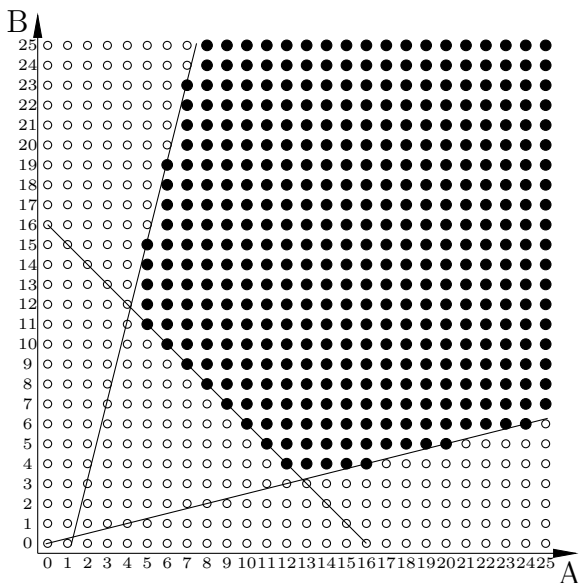
Theorem (Grundmeier, L., Vivas, '11)

Suppose $a > b \geq 1$, then there exists an N such that if $A + B \geq N$, and

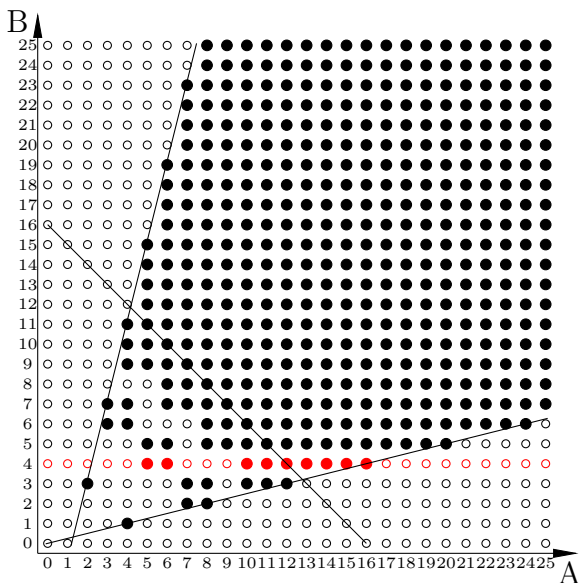
$$\frac{B - b + 3}{A} \geq \frac{b}{a} \quad \text{and} \quad \frac{A - b + 2}{B + 1} \geq \frac{b}{a},$$

then there exists a rational CR map $F: Q(a, b) \rightarrow Q(A, B)$ whose image does not lie in an affine complex hyperplane.

Picture is worth a thousand words $Q(4, 1)$



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Hermitian forms

Let r be a real-analytic function. Write

$$r(z, \bar{z}) = \|f(z)\|^2 - \|g(z)\|^2$$

for holomorphic Hilbert-space valued maps $f: \mathbb{C}^n \rightarrow \mathbb{C}^A$ and $g: \mathbb{C}^n \rightarrow \mathbb{C}^B$ with linearly independent components. Allow A and B to be ∞ . (See D'Angelo '93)

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$$\text{rank } r = A + B \quad \text{signature pair of } r = (A, B)$$

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Note that it looks like we are plugging $f \oplus g$ into the defining equation of a hyperquadric.

Matrix of coefficients

Assuming r is defined near 0 we can write

$$r(z, \bar{z}) = \langle C\mathcal{Z}, \mathcal{Z} \rangle$$

where $\mathcal{Z} = (1, z_1, z_2, \dots, z_1^2, z_1 z_2, \dots)$ is the vector of all monomials and C is a (formal) Hermitian matrix (called the *matrix of coefficients*).

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We obtain f and g in $r = \|f\|^2 - \|g\|^2$ by diagonalizing C .

Hermitian forms: example (finite dimensional)

$$5z_1 z_2 \bar{z}_1 \bar{z}_2 - 3z_2^2 \bar{z}_2^2 + 2z_1^2 + 2\bar{z}_1^2 + z_1 \bar{z}_1 =$$

$$= \begin{bmatrix} 1 & \bar{z}_1 & \bar{z}_2 & \bar{z}_1^2 & \bar{z}_1 \bar{z}_2 & \bar{z}_2^2 \end{bmatrix} \begin{bmatrix} 0 & 0 & 0 & 2 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 \\ 2 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 5 & 0 \\ 0 & 0 & 0 & 0 & 0 & -3 \end{bmatrix} \begin{bmatrix} 1 \\ z_1 \\ z_2 \\ z_1^2 \\ z_1 z_2 \\ z_2^2 \end{bmatrix}$$

$$= \left| \sqrt{5} z_1 z_2 \right|^2 + \left| 1 + z_1^2 \right|^2 + |z_1|^2 - \left| \sqrt{3} z_2^2 \right|^2 - \left| 1 - z_1^2 \right|^2$$

Key ingredient

Let $G_{m,n}$ be the affine Grassmanian (affine complex m -planes in \mathbb{C}^n)

Theorem (Grundmeier, L., Vivas, '11)

Let $n \geq 2$ and let $1 \leq m \leq n - 1$. Let $r: \Omega \subset \mathbb{C}^n \rightarrow \mathbb{R}$ be a nonzero real-analytic function (Ω connected and “small enough”). If

$$\max_{L \in G_{m,n}} \text{rank } r|_L < \infty.$$

Then $\text{rank } r < \infty$.

Moreover, $\exists R_{m,n}: \mathbb{N} \rightarrow \mathbb{N}$ such that for all such r

$$\text{rank } r \leq R_{m,n} \left(\max_{L \in G_{m,n}} \text{rank } r|_L \right).$$

Actually not quite enough

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Let $\mathcal{L} \subset G_{m,n}$ be a *generic subset* (not contained in any complex subvariety of $G_{m,n}$).

We show that if r is *positive semi-definite* ($B = 0$), then

$$\text{rank } r \leq R_{m,n} \left(\max_{L \in \mathcal{L}} \text{rank } r|_L \right).$$

When looking only at \mathcal{L} then r must be positive semi-definite for any bound to hold.

Interesting consequence

Suppose $f: U \subset \mathbb{C}^n \rightarrow \mathbb{C}^N$ is holomorphic and fix $m < n$.

If for each affine m -plane L intersecting U the set $f(U \cap L)$ lies in an affine M -plane in \mathbb{C}^N , then $f(U)$ lies in an affine $R_{m,n}(M)$ -plane.

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Here also a generic set of L will do as well.

Idea of proof of the rigidity theorem

If $a > b \geq 1$, then $Q(a, b)$ contains a generic set \mathcal{L} of affine b -planes.

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As $r = 1$ on $U \subset Q(a, b)$, then for every L in \mathcal{L} that also intersects U

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QED!

Proof of stability

Define $Q(a, b)$ by

$$s(z, \bar{z}) = \sum_{j=1}^a |z_j|^2 - \sum_{j=a+1}^{a+b} |z_j|^2 = 1$$

Suppose $r = 1$ on $Q(a, b)$, where

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Then for an arbitrary holomorphic function φ

$$r_1 = \|f\|^2 - \|g\|^2 + |\varphi|^2 (s - 1)$$

generically adds a positive and $b + 1$ negative eigenvalues.

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$$r_2 = \|f\|^2 - \|g\|^2 + |\varphi|^2 (1 - s)$$

generically adds $b + 1$ positive and a negative eigenvalues.

Continued...

Let $f = (f', f_A)$.

$$r_3 = \|f'\|^2 + |f_A|^2 s - \|g\|^2$$

generically adds $a - 1$ positive and b negative eigenvalues.

$$r_4 = \|f'\|^2 + \frac{|f_A|^2}{2} + \frac{|f_A|^2 s}{2} - \|g\|^2$$

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By variations on the above obtain maps to:

$$Q(A + a, B + b + 1), Q(A + a, B + b), Q(A + a - 1, B + b + 1), \\ Q(A + a - 1, B + b).$$

And also to:

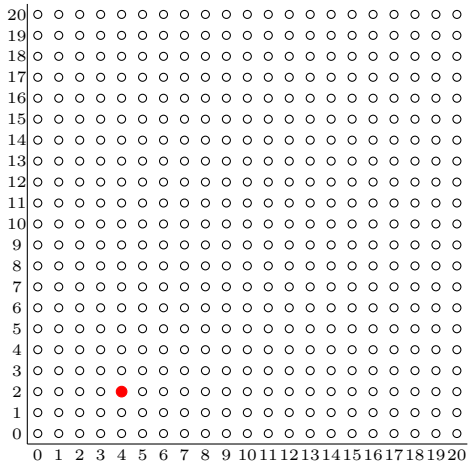
$$Q(A + b + 1, B + a), Q(A + b + 1, B + a - 1), Q(A + b, B + a), \\ Q(A + b, B + a - 1)$$

Proof by picture

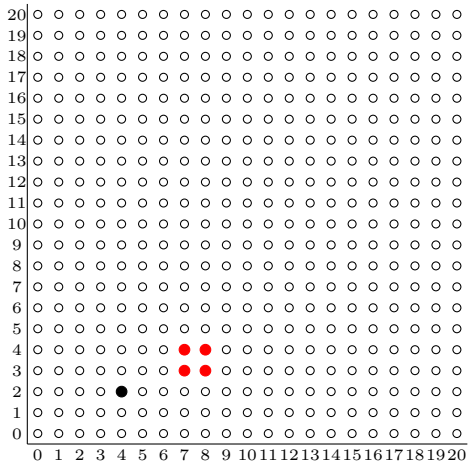
In the following pictures the B axis (vertical) is shifted by one for symmetry.

We show the construction of maps $Q(4, 1) \rightarrow Q(A, B - 1)$.

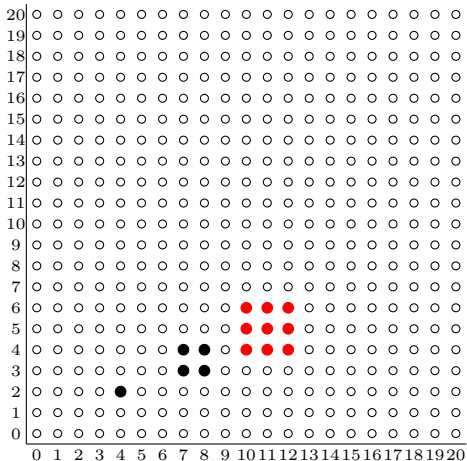
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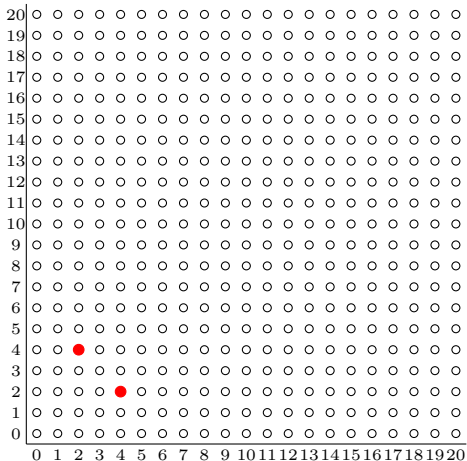
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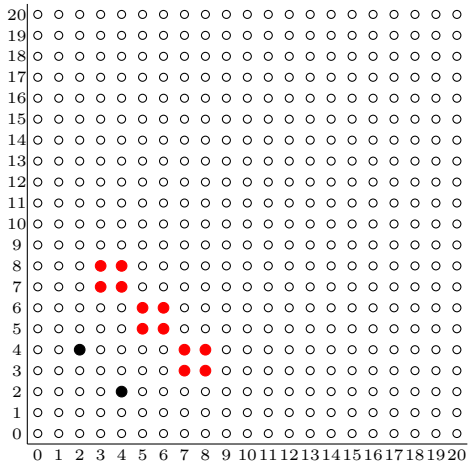
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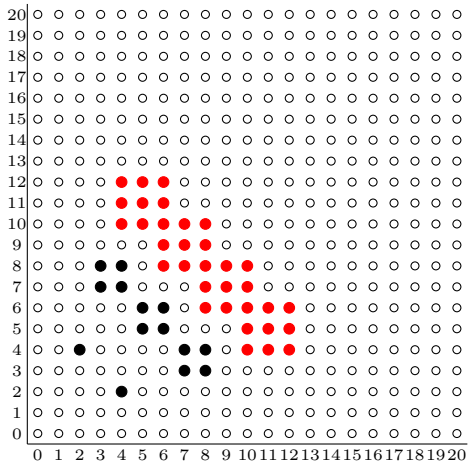
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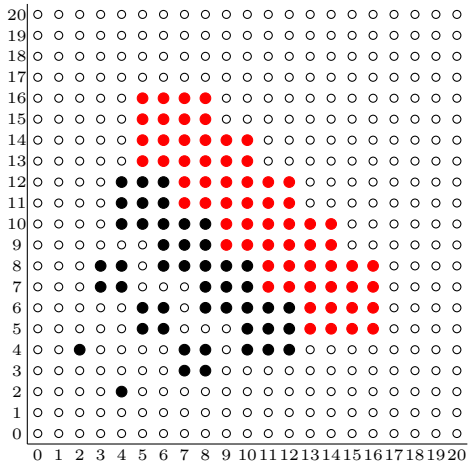
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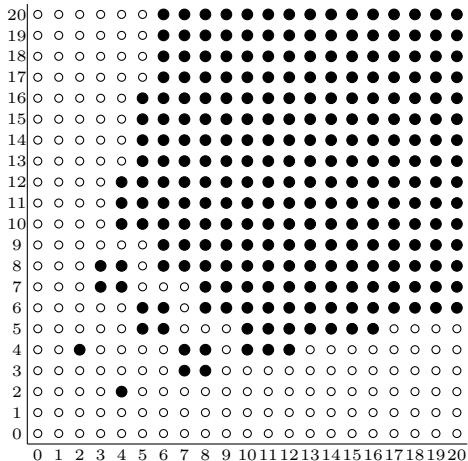
Proof by picture



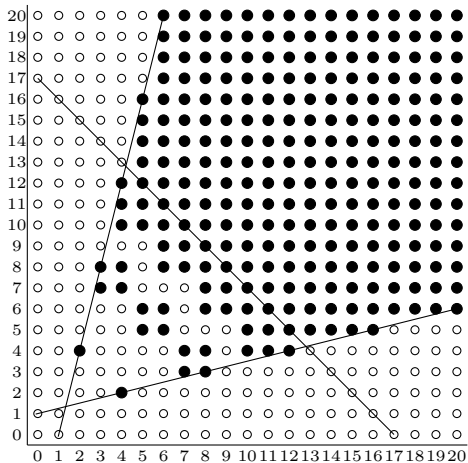
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Infinitely many dimensions

There exist strictly pseudoconvex real-analytic compact hypersurfaces that cannot be embedded via a real-analytic map into a sphere of any finite dimension (Forstnerič '86).

Every such hypersurface embeds (via a real-analytic map) into a sphere in ℓ^2 (Lempert '90).

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What about non-pseudoconvex Levi-nondegenerate hypersurfaces?

$$Q(\infty, b) := \left\{ z \in \ell^2 : - \sum_{j=1}^b |z_j|^2 + \sum_{j=b+1}^{\infty} |z_j|^2 = 1 \right\},$$

$$Q(\infty, \infty) := \left\{ z \in \ell^2 : \sum_{j=1}^{\infty} (|z_{2j-1}|^2 - |z_{2j}|^2) = 1 \right\}.$$

Note $Q(\infty, 0)$ is the unit sphere in ℓ^2 .

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For every real-analytic hypersurface there exists a CR map into some $Q(A, B)$ if we allow A and B to be infinite (using holomorphic decomposition, D'Angelo '93).

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Corollary (Grundmeier, L., Vivas, '11)

Let $\infty > a > b \geq 1$. Let $U \subset Q(a, b)$ be a connected open set and $f: U \rightarrow Q(\infty, B)$, where $B \in \mathbb{N}_0 \cup \{\infty\}$, be a real-analytic CR mapping such that $f(U)$ is not contained in any complex hyperplane of ℓ^2 . Then $B = \infty$.

Indefinite Levi-form

$$r(z, \bar{z}) = e^{|z_1+1|^2+|z_2|^2} - e - |z_3|^2$$

has signature pair $(\infty, 2)$ and

$$r(z, \bar{z}) = 2e \operatorname{Re} z_1 + |z_2|^2 - |z_3|^2 + \text{higher order terms.}$$

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We obtain

$$f: M \rightarrow Q(\infty, 1)$$

whose image is not contained in a hyperplane.